APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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EXAMINER
ADAMS, JONATHAN R

ART UNIT	PAPER NUMBER
2134	

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Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	09/895,530	RASMUSSEN, BRIAN
	Examiner	Art Unit
	Jonathan R Adams	2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>29 June 2001</u>.

2a)☐ This action is **FINAL**. 2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☐ Claim(s) _____ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-21* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

U.S. Patent and Trademark Office
PTOL-326 (Rev. 1-04)   Office Action Summary   Part of Paper No./Mail Date 2

DETAILED ACTION

Claim Rejections - 35 USC § 102

1.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2.   Claims 1, 2, 5-9, 11, 16, 17, 19, 20 rejected under 35 U.S.C. 102(b) as being

anticipated by "Microsoft Windows NT Server" (hereafter referred to as NTS).

3.   As to claim(s) 1:

- NTS teaches a method for controlling access to a computer system comprising:

- Receiving a request to log into the computer system / The NETLOGON service

  on the domain controller returns the user's SID and global SID information to the

  requesting client (Page 17, Line 19, NTS)

- Determine if a smart card is being used as a part of a login protocol to log into

  the computer system / Users can optionally use token devices that generate one-

  time passwords. Windows NT will also support the use of Smart Cards (Page 24,

  Paragraph 3, NTS)

- If so, permitting use of the computer system and logging use of the computer

  system for the user associated with the smart card / Smart cards for

authentication (Page 24, Paragraph 3, NTS), User authentication in Windows NT

is performed at Winlogin proves (Page 23, Paragraph 4, NTS)

- If not permitting use of the computer system and logging use of the computer

  system to an unknown user / The Guest account will only function for anonymous

  access if it is enabled and has no password. (Page 47, Paragraph 3, NTS)

4.   As to claim(s) 2, 17:

Setting an alert when use of the computer system is permitted and logged to an

unknown user / Windows NT Server auditing features record events to show which

users access which objects, the type of access attempted, and whether or not the

attempt was successful. Auditing can be applied to system events such as logon and

logoff (Page 39, Paragraph 7, NTS)

5.   As to claim(s) 5, 6, 19:

Determining an access restriction associated with a user associated with the smart card

and permitting the use of the computer system subject to the access restriction when

the smart card is being used as part of the login protocol / Denying access to the

computer system when the access restriction is not met / operating system must allow

the owner of any object the ability to permit or deny access to that object. Objects

include programs, files, directories, processes, printers, etc. Windows NT accomplishes

this level of control through the use of Access Control Lists. When a user executes the

logon process, an access token with all the users' rights (name of the authenticated

user, any groups the user is assigned to, etc.) (Page 22, Paragraph 3, NTS)

6.   As to claim(s) 7:

Access restriction comprises restriction of time of day that use of the computer system

is permitted / Finally there are specific account restrictions that can be placed on an

account to control the users access to the system. These include password restrictions,

logon times, remote access capabilities, group memberships, intruder detection/account

lockout, and user specific profiles. (Page 22, Paragraph 4, NTS)

7.   As to claim(s) 8:

Access restriction comprises restriction of computer programs that can be executed on

the computer system / operating system must allow the owner of any object the ability to

permit or deny access to that object. Objects include programs (Page 22, Paragraph 3,

NTS)

8.   As to claim(s) 9, 20:

Setting a timer to measure a time period whenever use of the computer system is

permitted / Resetting the timer when the computer system is actively being used /

Carrying out an automatic logout when the computer system has not been actively used

during the time period / Windows NT Server auditing features record events to show

which users access which objects, the type of access attempted, and whether or not the

attempt was successful. Auditing can be applied to remote Access Service events such

as authentication, disconnection, disconnection due to inactivity(Page 39, Paragraph 7,

NTS)

9.   As to claim(s) 11:

Establishing access restrictions for a user of the smart card / The policy editor allows

the administrator to define system policies that affect individual or groups of users and

machines. (Page 51, Paragraph 4, NTS)

10.   As to claim(s) 16:

Claim 16 corresponds to claim 1 and further comprises:

Central processor / User's computer (Page 24, Paragraph 1, NTS)

Smart card reader accessible to central processor / Card reader (Page 24, Paragraph 3,

NTS)

Security program running on central processor / Windows NT (Page 24, Paragraph 3,

NTS)

Claim Rejections - 35 USC § 103

11.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

12.   Claims 3, 4, 12, 13, 15, 18, 21 rejected under 35 U.S.C. 103(a) as being

unpatentable over NTS in view of "NT File System Security and Auditing" (hereafter

referred to as FSSA).

As to claim(s) 3, 18:

13.   NTS teaches a method for controlling access to a computer system using smart

cards, system properties, and event logs in a Windows NT environment. NTS does not

specifically teach the use of the Windows NT Event Viewer or its functionality. FSSA

teaches the use and functionality of the Windows NT Event Viewer including the

appearance of icons corresponding to events (Page 7, Slide 2, FSSA). It would have

been obvious to a person of ordinary skill in the art at the time of invention to use the

Windows NT event viewer when auditing event logs in Windows NT. One of ordinary

skill in the art would have been motivated to use the Windows NT event viewer when

auditing event logs in Windows NT because the event viewer is provided with Windows

NT for this specific purpose.

14.   As to claim(s) 4:

Clearing the alert if the user associated with the smart card has rights to clear alerts

when the smart card is being used as part of the login protocol / Overwrite events as

Needed (Page 7, Slide 4, FSSA)

15.   As to claim(s) 12, 21:

Making entries into a log file of a user name, time and date of computer system use /

Date, Time (Page 7, Slide 2, FSSA), "User" text box (Page 7, Slide 3, FSSA)

16.   As to claim(s) 13:

Making entries into the log file of computer programs accessed / Windows NT Server

auditing features record events to show which users access which objects, the type of

access attempted, and whether or not the attempt was successful. Auditing can be

applied to file and directory events such as read, write, execute, delete, changing

permissions and taking ownership (Page 39, Paragraph 7, NTS)

17.   As to claim(s) 15:

Claim 15 corresponds to claims 1, 3, 5, 6, 9, and 12

18.   Claim 10 rejected under 35 U.S.C. 103(a) as being unpatentable over NTS in

view of "Windows 2000 Advanced Documentation" (hereafter referred to as Win2000).

19.   As to claim(s) 10:

NTS teaches a method for controlling access to a computer system using smart cards

comprising:

The smart card is being used as part of the login protocol / Users can optionally use

token devices that generate one-time passwords. Windows NT will also support the use

of Smart Cards (Page 24, Paragraph 3, NTS)

NTS does not teach the setup procedure for initializing smart cards. Win2000 teaches

the procedure for initializing smart cards used for user authentication including:

Permitting initialization of a smart card if the user associated with the smart card has

rights to initialize a smart card / the procedure listed in Win2000 would not be possible if

it was not permitted.

It would have been obvious to a person of ordinary skill in the art at the time of invention

to use the initialization procedure of Win2000 with the smart card authentication system

of NTS. One of ordinary skill in the art would have been motivated to use the

initialization procedure of Win2000 with the smart card authentication system of NTS

because the initialization procedure of Win2000 provides a complete and simple smart

card initialization procedure and Windows 2000 Advanced Server is a more recent

version server software than NT server version 4 by the same inventor.

Conclusion

20.   Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Jonathan R Adams whose telephone number is

(571)272-3832. The examiner can normally be reached on Monday – Friday from 10am

to 6pm.

21.   If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Gregory Morse, can be reached on (703) 308-4789. The fax phone number

for the organization where this application or proceeding is assigned is (571)272-3838.

Any inquiry of a general nature or relating to the status of this application or proceeding

should be directed to the receptionist whose telephone number is (703) 305-3900.

GREGORY MORSE
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